



PTO/SB/21 (03-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/687,864
Filing Date	October 13, 2000
First Named Inventor	Ledbetter
Art Unit	1648
Examiner Name	Parkin, Jeffrey S
Attorney Docket Number	49076.000002.UTL1

Total Number of Pages in This Submission

112

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AUG 26 2003

TECH CENTER 1600/2000

1648  
#  
H11  
MW**ENCLOSURES (Check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to a Technology Center (TC)
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	<b>Remarks</b>	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Supplemental Information Disclosure Statement; Copies of U.S. P/N's 5,945,513; 5,580,773; & 5,521,288; and Return Postcard.	

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual	James W. Collett, Reg. No. 46,636
Signature	
Date	August 18, 2003

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I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: August 18, 2003	
Typed or printed	Barbara J. Kiehl
Signature	
Date	August 18, 2003

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, Washington, DC 20231.**

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49076.000002.UTL1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )

Examiner: Parkin, Jeffrey S

Ledbetter et al. )

Art Unit: 1648

Serial No. 09/687,864 )

**RECEIVED**

Filed October 13, 2000 )

**AUG 26 2003**

For: DNA VACCINES ENCODING )  
ANTIGEN LINKED TO A DOMAIN )  
BINDS CD40 )

**TECH CENTER 1600/2900**

***SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT***

Commissioner for Patents  
Box 1450  
Arlington, VA 22313-1450

Sir:

In response to the requirements of 37 C.F.R. § 1.97, applicants call to the attention of the Examiner the following prior art listed on the enclosed PTO Form 1449, which recently came to their attention.

No action on the merits has issued; only a Restriction Requirement which was mailed June 16, 2003. No fee is believed due in connection with the filing of this Supplemental

**CERTIFICATE OF MAILING**  
(37 C.F.R. Section 1.8A)

I hereby certify that this paper (along with anything referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

August 18, 2003  
Date of Deposit

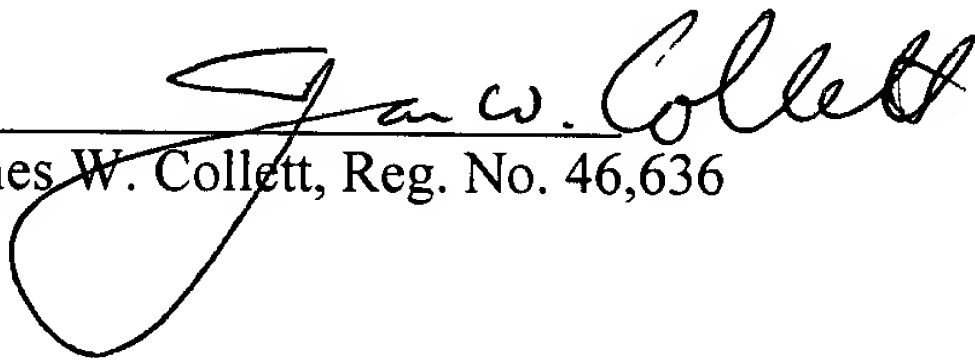
BARBARA J. KIELT  
Name of Person Mailing Paper

Barbara J. Kielt  
Signature of Person Mailing Paper

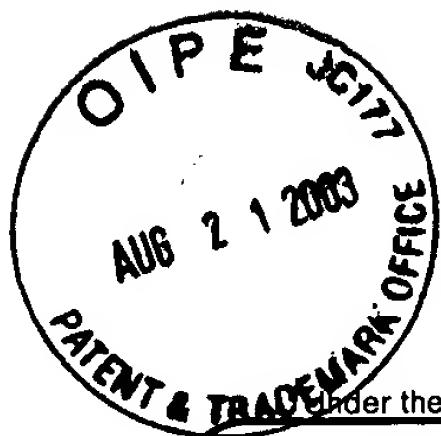
Information Disclosure Statement. If this is incorrect, the Commissioner is authorized to debit our Deposit Account No. 02-4553.

Respectfully submitted,

BUCHANAN INGEROLL P.C.

By:   
James W. Collett, Reg. No. 46,636

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PTO/SB/08A (08-03)

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Substitute for form 1449/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**(Use as many sheets as necessary)**

**Complete if Known**

Application Number	09/687,864
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Filing Date	October 13, 2000
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First Named Inventor	Ledbetter
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Art Unit	1648
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Examiner Name	Parkin, Jeffrey S
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Attorney Docket Number	49076.000002.UTL1
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Sheet	1	of	1
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## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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